

COMMONWEALTH OF MASSACHUSETTS
DEPARTMENT OF CORRECTION
CLASSIFICATION DIVISION

103 DOC 154
CENTRAL OFFICE RECORDS

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MASSACHUSETTS DEPARTMENT OF CORRECTION	DIVISION: CLASSIFICATION
TITLE: CENTRAL OFFICE RECORDS	NUMBER: 103 DOC 154

PURPOSE: To establish rules and regulations for the operation and internal management of the central office records of the Department of Correction.

REFERENCES: This policy is issued pursuant to M.G.L. C.124; C. 6, Sec. 167-178; 2-CO-1E-01; 2-CO-1E-06; 2-CO-1E-07; 2-CO-1E-08.

APPLICABILITY: Staff

PUBLIC ACCESS: Yes

LOCATION: DOC Central Policy File
Classification Division Policy File
Institution Policy

RESPONSIBLE STAFF FOR IMPLEMENTATION AND MONITORING OF POLICY:
Director, Offender Management and Placement
Director of Classification
Superintendents

PROMULGATION DATE: 3/30/2004 **EFFECTIVE DATE:** 6/17/2004

CANCELLATION: This policy cancels all previous Department policy statements, bulletins, directives, orders, notices, rules, and regulations regarding Central Office Records which are inconsistent with this policy.

SEVERABILITY CLAUSE: If any part of this policy is for any reason held to be in excess of the authority of the commissioner, such decision will not effect any other part of this policy.

154.01 **Administrative Regulations**

1. Only employees of the Massachusetts Department of Correction (DOC) and the Massachusetts Parole Board shall be given information about offenders, except as noted in section 154.02.
2. To obtain an offender's folder from the records room an application (Attachment I) must be completed by the applicant including the legibly printed last and first name of the applicant (not merely his/her initials). A completed form is required for the removal of each folder. An applicant may request a central folder by contacting the central office records room by telephone or facsimile. An application will be completed by/for the requesting staff person and the folder will be logged out to the requester. The daily logbook will be utilized to record the name of the folder being removed, the requester's name, division and date. The daily logbook will be reviewed and maintained by the central records staff on an ongoing basis.
3. Ordinarily no person shall withdraw more than ten folders at one time. In unusual circumstances the records and commitment manager may authorize withdrawal of folders in excess of ten.
4. When a folder is given to another approved employee not already listed on the application form, the person who releases the material shall insure that the new holder's name is added to the application form.
5. The person whose name appears last on the application form shall be responsible for locating any folder not returned to the records room.
6. Ordinarily folders shall be returned to central records within two months. If the folder is needed for a longer period of time, the requestor must resubmit a sign out slip for that folder. The folder will then be signed back out to that individual/agency.
7. Under no circumstances shall a master card or contents of the folder be removed from the central office records room.

8. Authorized DOC personnel and staff of the Massachusetts Parole Board may review central record folders or Inmate Management System (IMS) records at the central records division located at MCI Concord or request the information be sent to them via a DOC contracted courier service. Access to IMS screens shall be given in accordance with the 103 DOC 153 CORI Regulations, 103 CMR 157 Regulations Governing Access to and Dissemination of Evaluative Information policies, and the 103 DOC 756 Information Technology policy, IMS Profile Approval Procedures. Each folder sent by courier will be sealed in a clearly marked manila envelope addressed to the Division, Department or Agency that requested the information.

Upon returning a central records folder each folder must be returned, to central records sealed in a manila envelope and clearly marked: MCI Concord, Central Records Department, 2nd floor, B-Building, West Concord, MA. A return address must be noted on the envelope as well.

9. When a folder has been issued to DOC Central Office staff or the MA Parole Board the folder or contents can not be released to any other authority except in the following cases:
 - a. When requested for court proceeding;
 - b. When members or authorized staff of the Parole Board are conducting parole hearings at state or county facilities or other designated hearing locations;
 - c. In emergencies when authorized by the director, offender management and placement;
 - d. When needed by the office of the Attorney General. In this instance, the person who releases the folder must obtain a receipt from the assistant attorney general requiring the folder.

When a folder is released by the MA Parole Board or by the DOC Central Office another application form shall be completed and submitted to the records room supervisor, pursuant to 154.01(2). No folder shall be left in the custody of any

outside agency/person (except the Office of the Attorney General) unless so ordered by the court or commissioner of correction.

10. No offender information shall be left unattended. Whenever anyone is to be absent from a workstation where offender information may be unattended, they shall first arrange for the secure placement or responsible surveillance of such offender information.
11. Material in folders will be filed according to the following format:
 - a. Six-part folders - in accordance with rules and regulations set forth in policy 103 CMR 155.
 - b. Two-flap folders - in chronological sequence with the most recent in front and oldest items at the rear of the folder.
12. Employees using folders are responsible for leaving the contents in proper order. Any documents or items that are removed temporarily from the folder will be returned as soon as possible to their proper filing position.
13. In unusual cases, authorized personnel may retrieve a folder by contacting MCI Concord, shift commander, who will enter the central records area and retrieve the folder. The folder will be placed at MCI Concord outer control where the authorized personnel may retrieve it. The shift commander will be responsible for completing the application as outlined in 154.01(2).

154.02 **Dissemination of Offender Information to Outside Agencies or Persons**

1. Regulations controlling dissemination of offender information to outside agencies and individuals are set forth in 103 DOC 153 CORI REGULATIONS and 103 CMR 157, REGULATIONS GOVERNING ACCESS TO AND DISSEMINATION OF EVALUATIVE INFORMATION.
2. All outside inquiries seeking information about offenders on parole or offenders who have been revoked but not yet returned shall be referred to the parole board. All inquiries for information about confined offenders or offenders no longer

subject to Parole Board authority shall be referred to the department of correction. When answering inquiries, both the Parole Board and the DOC may release CORI originating from either agency.

3. Evaluative information must not be released until permission is obtained from the originating agency.
4. Notwithstanding the general rule of paragraph two above, screening employees of the Parole Board may show reports and the Parole Summary to legal representatives preparing for parole revocation hearings information from the Department of Correction. These exceptions are subject to any limitations which are established in advance by the general counsel of the DOC.
5. The operating procedures described below is intended for the control of the dissemination of offender information from central records in accordance with the regulations set forth by the Criminal History Systems Board (CHSB).
 - a. Applicants from Agencies Certified by CHSB must show some form of identification proving that he/she is an official representative of the certified agency. He/she must receive authorization/clearance from the deputy superintendent of operations or director of security of MCI-Concord to enter the facility and adhere to the rules and regulations of the institution. Inquirers must sign their name to the MCI Concord visitors log at outer control and in the central records CORI log, listing their agency, date of visit and name of file they are viewing. These appointments will be scheduled with the central records supervisor at least 48 hours in advance.
 - b. All parties and individuals shall schedule appointments with the central records' supervisor at least 48 hours in advance of CORI and evaluative review and/or dissemination. Authorization and clearance to enter the facility must be received from the deputy superintendent of operations or director of security of MCI Concord. Appropriate identification must be made

available and all facility rules and regulations must be followed. Parties/individuals must present the appropriate forms, outlined in 103 DOC 153-CORI Regulations, sign their name to the MCI Concord visitors log at outer control and in the central records CORI log. Information requested on the log include, but is not limited to, the agency/relationship, date of visit and name of folder being viewed. A screening employee shall review the requested information before it is reviewed or disseminated to the individual, to ensure compliance with 153 CORI regulations.

- c. Individuals seeking information about their prior incarceration(s) must complete the appropriate forms outlined in 103 DOC 153-CORI Regulations. A screening employee shall review the requested information before it is reviewed or disseminated to the individual, to ensure compliance with 153 CORI regulations.
- d. Employees may, at the request of a member of the public, confirm statements regarding the offender status of an individual if the request for confirmation is by the individual's name and the request indicates specific knowledge that the individual is a convicted offender serving a sentence.

ATTACHMENT I

<p>APPLICATION FOR FOLDER_____</p> <p>_____</p> <p>Inmate Name (Last/First)</p> <p>_____</p> <p>Commitment No. Date</p> <p>_____</p> <p>Requested By:(Full Name)</p> <p>_____</p> <p>Division/Dept/Work Location</p>	<p>APPLICATION FOR FOLDER_____</p> <p>_____</p> <p>Inmate Name (Last/First)</p> <p>_____</p> <p>Commitment No. Date</p> <p>_____</p> <p>Requested By:(Full Name)</p> <p>_____</p> <p>Division/Dept/Work Location</p>
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